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| Document name: Risk and Issue Management Policy  Author:  Approved by: |

**[insert company name]:**

**Risk and Issue Management Policy**

The Company recognises the importance of risk assessment in all aspects of our service. The Company is a rigorous upholder of best practice and has developed a procedure to support us with delivering a high quality and safe community eye care service.

The Company will implement an appropriate risk management policy and procedure. This policy describes how risk will be assessed by the Company.

The Company is responsible for:

* Overseeing and co-ordinating the approach to issue and risk management.
* Reviewing the risk and issue registers each month.
* Highlighting risks and issues which have arisen to the commissioner if necessary.

Once the Company is engaged by the commissioners to progress with implementation of the service, it will evaluate and ratify all risks with the commissioners. These risks and associated mitigation plans will then be reviewed regularly to ensure they are dealt with.

A 5-step process to risk and issue assessment will be used for systematic application to all risks and issues:

|  |  |  |
| --- | --- | --- |
|  | **Risk Assessment** | **Issue Management** |
| **Step 1** | * Risk identified | * Issue identified |
| **Step 2** | * Evaluate the potential risk to determine nature of risk considering who might be harmed and how * Score risk\* | * Evaluate the issue to determine who has been harmed and undertake ‘root cause analysis’ to determine how the issue occurred and the likelihood of it occurring again * Grade issue |
| **Step 3** | * Consider strategy to mitigate potential risk | * Consider strategy to mitigate the risk of the issue occurring again |
| **Step 4** | * Record risk, risk score\*, mitigating actions and timescales for implementation on risk register | * Record the issue, grade and action(s) taken on the issues register * Record risk(s) associated with the issue on the risk register, following the risk assessment procedure |
| **Step 5** | * Review risk register and all risk assessments every month to ensure actions have been implemented and update as required | * Implement Incident Response Plan procedure (if applicable) |

* *The risk scoring matrix adopted by the commissioner will be used for the purposes of our risk register (example below):*

|  |  |  |
| --- | --- | --- |
| **LEVEL** | **DESCRIPTOR** | **DESCRIPTION** |
| 0 | Negligible | No injuries. Little or no financial loss |
| 1 | Minor | First-Aid treatment. Low financial loss. |
| 2 | Moderate | Medical treatment required. Moderate environmental implications.  Moderate financial loss. Moderate loss of reputation. Moderate business interruption. |
| 3 | Serious | Serious injuries to one or more persons. Serious environmental implications. Serious financial loss. Serious loss of reputation. Serious business interruption. |
| 4 | Major | Excessive injuries. High environmental implications. Major financial loss. Major loss of reputation. Major business interruption. |
| 5 | Fatality/ies | Death or multiple deaths involving any persons. Potential closure of the business. |

Qualitative measures of likelihood:

|  |  |  |
| --- | --- | --- |
| **LEVEL** | **DESCRIPTOR** | **DESCRIPTION** |
| 0 | Impossible | The event cannot happen under any circumstances |
| 1 | Rare | The event may occur only in exceptional circumstances |
| 2 | Unlikely | The event could occur at some time |
| 3 | Moderate | The event should occur at some time |
| 4 | Likely | The event will probably occur in most circumstances |
| 5 | Almost Certain | The event is expected to occur |

Qualitative Risk Assessment Matrix – level of risk

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **CONSEQUENCES** | ***PROBABILITY*** | | | | | |
|  | Impossible  0 | Rare  1 | Unlikely  2 | Moderate  3 | Likely  4 | A/Certain  5 |
| Negligible – 0 | **0** | **0** | **0** | **0** | **0** | **0** |
| Minor – 1 | **0** | **1** | **2** | **3** | **4** | **5** |
| Moderate – 2 | **0** | **2** | **4** | **6** | **8** | **10** |
| Serious – 3 | **0** | **3** | **6** | **9** | **12** | **15** |
| Major – 4 | **0** | **4** | **8** | **12** | **16** | **20** |
| Fatality/ies – 5 | **0** | **5** | **10** | **15** | **20** | **25** |

**Key:**

No Risk (0)

Low Risk (1-3)

Moderate Risk (4-7)

Significant Risk (8-12)

High Risk (15-25)

Example Risk Assessment*Date:*

|  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Risk** | **Likelihood**  (1-5, with 1 least likely  and 5 most  likely) | **Impact**  (1-5) | **Total Risk**  (Likelihood  X Impact) | **Date Risk Identified** | **Nature of Risk**  (Clinical/ Non-Clinical) | **Management Strategy** | **Comments** | **Responsibility** | **Date Actioned** |
| 1. Equipment is incorrectly calibrated | 2 | 3 | 6 |  | Non-clinical | Ensure equipment is calibrated. |  |  |  |
| 1. Equipment failure | 2 | 2 | 4 |  | Non-clinical | Ensure patients are re-booked. Ensure support for equipment is in place for remediation. |  |  |  |
| 1. Patient contracts   infection in the consulting room | 2 | 3 | 6 |  | Clinical | Keep cross infection control procedures up to date. |  |  |  |
| 1. Referral letters not   received by GP | 2 | 3 | 6 |  | Non-clinical | Utilise secure fax to ensure delivery and receipt of patient details. |  |  |  |
| 1. IT System failure | 1 | 2 | 2 |  | Non-clinical | Alternative manual recording of patient records and all data collection. |  |  |  |

This Risk and Issues Management Policy will be reviewed annually from commencement date [insert date].